

**Forum 2001:  
National Compliance  
Assistance Providers Forum**



**March 7– 9, 2001  
Loews Annapolis Hotel  
Annapolis, Maryland**

## GOALS

To promote dialogue among state and local agencies, tribes, trade associations, community groups and industry and exchange information on:

- ☐ The latest issues affecting compliance assistance development and delivery
- ☐ The most innovative approaches to encouraging quality environmental performance
- ☐ Recruiting partners to develop projects for emerging compliance assistance priorities

## KEY THEMES

Highly interactive sessions will focus on three themes that are key to providing effective compliance assistance:

- ☐ Strategic planning for emerging compliance assistance priorities
- ☐ Tools and approaches for delivering compliance assistance
- ☐ Focusing compliance assistance resources to address industry-specific needs

Presentations and discussions with:

- ☐ Industry leaders on successes in quality environmental performance
- ☐ Federal and state government officials on the future direction of compliance assistance

## Try These Innovative Compliance Assistance Resources



[gov/clearinghouse](http://gov/clearinghouse)

[www.assistancecenters.net](http://www.assistancecenters.net)

[www.epa.gov](http://www.epa.gov)

## March 7, 2001

### Pre-Conference Activities – Atrium

#### 8:00 – 9:30 Registration and Networking

##### Registration

- ☐ Continental breakfast available

##### Networking for Forum Participants

- ☐ Informal gathering over coffee and pastries to meet and greet Forum participants and speakers
- ☐ Visit the exhibit space to find out more about what's going on in the world of compliance assistance

## March 7, 2001

### Plenary Sessions – Regatta Ballroom

#### 9:30 – 9:50 Welcome and Introduction to Forum 2001

James Edward, *Director, Compliance Assistance and Sector Programs Division, US EPA*

- ☐ Highlights of the next two days
- ☐ Expectations for the interactive sessions and how EPA will use the feedback from those sessions

#### 9:50 – 10:10 Welcoming Remarks by Forum Co-Sponsors

Sylvia K. Lowrance, *Acting Assistant Administrator, Office of Enforcement and Compliance Assurance*

William C. Early, *Acting Deputy Regional Administrator, US EPA Region 3*

Jane Nishida, *Secretary, Maryland Department of the Environment*

#### 10:10 – 10:50 Keynote Address

Sylvia K. Lowrance, *Acting Assistant Administrator, Office of Enforcement and Compliance Assurance*

#### 10:50 – 12:00 Policymakers Perspectives: Where We Are Headed in Compliance Assistance

**Chair:** Michael Stahl, *Director, Office of Compliance, US EPA*

**Panelists:**

Sylvia K. Lowrance, *Acting Assistant Administrator, Office of Enforcement and Compliance Assurance*

William C. Early, *Acting Deputy Regional Administrator, US EPA Region 3*

Jane Nishida, *Secretary, Maryland Department of the Environment*

Rich Sustich, *Assistant Director, Research and Development, Metropolitan Water Reclamation District of Greater Chicago and Co-chair, Compliance Assistance Advisory Committee*

- ☐ Presentation by senior managers on future directions for compliance assistance

**March 7, 2001**  
**Concurrent Sessions 1:15 – 3:00**  
**Compliance Assistance Planning and Priority Setting**

**Session I: Identify Compliance Assistance Needs to Address EPA and State Air Priorities**

**Description:**

Panelists including EPA and state officials will discuss with session participants the compliance priorities and compliance assistance activities in **air programs** and the current and future compliance assistance needs to address those priorities. The session will encourage all participants to share success stories and lessons learned in developing and applying specific compliance assistance activities to address problem areas.

**Goals/Outcome:**

Participants will gain knowledge of EPA and state compliance assistance priorities and activities and have the opportunity to suggest compliance assistance needs related to these priorities. In turn, EPA and states will gain valuable information from other compliance assistance providers on the needs expressed and discuss opportunities for collaboration. Information exchanged will be used to shape EPA and state compliance assistance planning efforts.

**Key Questions:**

- ☐ What are the compliance plans and needs of state and local government and private compliance assistance providers?
- ☐ Will projects and tools planned by EPA and states meet the compliance assistance needs of the regulated community?
- ☐ Are there other problems not identified by panelists as priorities that need compliance assistance tools?
- ☐ What are the opportunities for collaboration on compliance assistance activities, technical assistance and other outreach activities?

**Presenters:**

**Gil Wood**, *Environmental Engineer, Office of Air Quality Planning and Standards, US EPA* (wood.gil@epa.gov)

**Lew Felleisen**, *Pollution Prevention Facilitator, Air Protection Division, US EPA Region 3*  
(felleisen.lewis@epa.gov)

**Frank Courtright**, *Manager, Air Quality Compliance Program, State of Maryland Air and Radiation Management Administration* (fcourtright@mde.state.md.us)

**Scott Throwe (Session Coordinator)**, *Environmental Protection Specialist, Compliance Assessment and Media Programs Division, Office of Compliance, US EPA* (throwe.scott@epa.gov)

**Location:** Regatta Ballroom A

## Session II:

### Identify Compliance Assistance Plans and Priorities for Addressing Environmental Requirements in the Water Media

#### Description:

EPA and state panelists will discuss with session participants the compliance priorities and compliance assistance activities in **water programs** and the current and future compliance assistance needs to address those priorities. The session will encourage all participants to share success stories and lessons learned in developing and applying specific compliance assistance activities to address problem areas.

#### Goals/Outcome:

Participants will gain knowledge of EPA and state compliance assistance priorities and activities and have the opportunity to suggest compliance assistance needs related to these priorities. In turn, EPA and states will gain valuable information from other compliance assistance providers on the needs expressed and discuss opportunities for collaboration. Information exchanged will be used to shape EPA and state compliance assistance planning efforts.

#### Key Questions:

- ☐ What are the compliance plans and needs of the state and local government and private compliance assistance providers?
- ☐ Are planned projects and tools meeting the compliance assistance needs of the regulated community?
- ☐ Are there other problems not identified as priorities that need compliance assistance tools?
- ☐ What are the opportunities for collaboration on compliance assistance activities, technical assistance and other outreach activities?

#### Presenters:

[Herb Sachs](#), *Director of Special Projects, Maryland Department of Environment*

[Rich Kuhlman](#), *Director, Municipal Support Division, Office of Wastewater Management, US EPA*  
(kulman.rich@epa.gov)

[Al Havinga](#), *Concentrated Animal Feeding Operations Coordinator, Agricultural Division, Office of Compliance, US EPA* (havinga.al@epa.gov)

[Debbie McCray](#), *Program Analyst, Drinking Water Protection Division, Office of Ground Water and Drinking Water, US EPA* (mccray.deborah@epa.gov)

[Walter Brodtman](#) ([Session Coordinator](#)), *Municipal-NPDES Coordinator, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA* (brodtman.walter@epa.gov)

**Location:** Thomas Point

### Session III:

### Identify Approaches to Address Compliance Assistance Needs and Priorities with States

#### Description:

Participants will discuss the tools, processes and resources needed 1) to improve planning of compliance assistance to support national, regional and state program priorities, and 2) to promote coordination and collaboration in the implementation of compliance assistance programs.

#### Goals/Outcomes:

Identify existing barriers preventing coordination and collaboration in the compliance assistance planning process. Identify possible opportunities for enhanced coordination and collaboration and more effective use of resources when planning and implementing compliance assistance programs with states.

#### Key Questions:

- ☐ What tools, processes or mechanisms are states now using to plan compliance assistance programs? Can these tools or processes be used to improve coordination and collaboration with EPA on planning and implementation of compliance assistance programs?
- ☐ What tools, processes or mechanisms are being used by EPA to foster coordination and collaboration with states? Are there additional tools, processes or mechanisms that EPA should be using?
- ☐ What are the best processes or mechanisms for identifying and allocating resources to states that will ensure that resources are directed to and support state needs and priorities for compliance assistance?
- ☐ How does compliance assistance planning occur at the state level (e.g., primarily around economic sectors or air, water and other media specific priorities) and why?
- ☐ How could planning, coordination and collaboration among state and EPA be improved?

#### Presenters:

[Angela Baranco](#), *Special Assistant, Office of Regional Administrator, US EPA Region 9*

([baranco.angela@epa.gov](mailto:baranco.angela@epa.gov))

[Mary Dever](#), *Team Leader/Environmental Protection Specialist, Assistance and Pollution Prevention Office, Office of Environmental Stewardship, US EPA New England Region* ([dever.mary@epa.gov](mailto:dever.mary@epa.gov))

[Joanne Berman](#), *Attorney, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA* ([berman.joanne@epa.gov](mailto:berman.joanne@epa.gov))

[Robert Kaliszewski](#), *Ombudsman, Environmental Assistance and Outreach, Office of Ombudsman, Connecticut Department of Environmental Protection*

[Becky Barclay \(Session Coordinator\)](#), *Program Analyst, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA* ([barclay.rebecca@epa.gov](mailto:barclay.rebecca@epa.gov))

#### Audience Resources:

[Robert Tolpa](#), *Office of Enforcement and Compliance Assurance* ([tolpa.robert@epa.gov](mailto:tolpa.robert@epa.gov))

[Debby Thomas](#), *Office of Enforcement of Compliance Assurance, US EPA* ([thomas.deborah@epa.gov](mailto:thomas.deborah@epa.gov))

[Terri Goldberg](#), *Deputy Director, Northeast Waste Management Officials Association and Compliance Assistance Committee Member* ([tgoldberg@newmoa.org](mailto:tgoldberg@newmoa.org))

[Art Horowitz](#), *Office of Policy Planning, Analysis and Communication* ([horowitz.arthur@epa.gov](mailto:horowitz.arthur@epa.gov))

**Location:** Regatta Ballroom B & C

**Session IV:****Mini-Sessions****1:15 - 2:00****Identify Compliance Assistance Needs to Address EPA and State Solid and Hazardous Waste Priorities**

This session is an abbreviated version of Session III described in the next series of breakout sessions scheduled from 3:15 – 5:00. The presentations will be the same; however, there will be little time for participant discussions.

**2:15 -- 3:00****Identify Compliance Assistance Needs to Address EPA and State Pesticides and Toxics Priorities**

This session is an abbreviated version of Session I described in the next series of breakout sessions scheduled from 3:15 – 5:00. The presentations will be the same; however, there will be little time for participant discussions.

**Location:**

Windjammer

**March 7, 2001**  
**Concurrent Sessions 3:15 – 5:00**  
**Compliance Assistance Planning and Priority Setting**

**Session I: Identify Compliance Assistance Needs to Address EPA and State Pesticides and Toxics Priorities**

**Description:**

This session is a focused discussion among EPA, state, and local officials, compliance assistance providers and other interested parties on compliance priorities, compliance assistance activities, and compliance assistance needs related to areas such as lead, asbestos, and pesticides worker protection.

**Goals/Outcome:**

Participants will gain knowledge of EPA and state compliance assistance priorities and activities and have the opportunity to suggest compliance assistance needs that result from these priorities. Information exchanged will be used to shape EPA and state compliance assistance planning efforts.

**Key Questions:**

- ☐ What are other compliance assistance providers' outreach plans and interests?
- ☐ Do current or planned tools meet the compliance assistance needs of the regulated community?
- ☐ Are there other problem areas or priorities not identified in the discussion that need compliance assistance tools? If so, what are these areas and what kinds of tools might be useful?
- ☐ What are the opportunities for collaboration on compliance assistance activities or other activities?

**Presenters:**

[David Kling](#), *Acting Deputy Director, Office of Pollution Prevention and Toxics, Office of Prevention, Pesticides and Toxic Substances, US EPA* (kling.david@epa.gov)

[Rick Colbert](#), *Director, Agriculture Division, Office of Compliance, US EPA* (colbert.richard@epa.gov)

[Anthony L. Restaino](#), *Chief, Pesticides and Toxics Enforcement Section, Waste, Pesticides and Toxics Division, US EPA Region 5* (restaino.anthony@epa.gov)

[Dave Fredrickson](#), *Director of Investigations and Compliance, Wisconsin Department of Agriculture, Trade, and Consumer Protection* (dave.fredrickson@datcp.state.wi.us)

[Richard Pont](#), *Program Analyst, Certification and Worker Protection Branch, Office of Pesticide Programs, Office of Prevention, Pesticides and Toxic Substances, US EPA* (pont.richard@epa.gov)

[Sally Sasnett \(Session Coordinator\)](#), *Environmental Protection Specialist, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA* (sasnett.sally@epa.gov)

**Audience Resources:**

[Lin Moos](#), *Acting Director, National Program Chemicals Division, Office of Pollution Prevention and Toxic Substances, US EPA* (moos.lin@epa.gov)

[Ann Pontius](#), *Acting Director, Toxics and Pesticides Enforcement Division, Office of Regulatory Enforcement, Office of Enforcement and Compliance Assurance, US EPA* (pontius.ann@epa.gov)

[Dea Zimmerman](#), *Leader, Pesticides and Toxics Team, Waste, Pesticides and Toxics Division, US EPA Region 5* (zimmerman.deamaria@epa.gov)

**Location:** Thomas Point



## Session II:

## Identify Compliance Assistance Needs for EPA and State Multi-media and Sector Priorities

### Description:

Panelists will discuss with session participants the compliance priorities and compliance assistance activities in **multi-media programs** and the current and future compliance assistance needs to address those priorities. The session will encourage all participants to share success stories and lessons learned in developing and applying specific compliance assistance activities to address problem areas.

### Goals/Outcome:

Identify issues/opportunities and/or provide suggestions to EPA on methods to identify compliance assistance needs.

### Key Questions:

- ☐ What is the most effective way of identifying compliance assistance needs for multi-media and sector priorities?
- ☐ What is the most effective method for providing compliance assistance to industry, states and communities?
- ☐ What are the impediments to effectively identifying and implementing appropriate and effective compliance assistance?

### Presenters:

[Connie Musgrove](#), Deputy Office Director, Office of Regulatory Enforcement, Office of Enforcement and Compliance Assurance, US EPA ([musgrove.connie@epa.gov](mailto:musgrove.connie@epa.gov))

[Robert Benson](#), Division Director, Sector Strategies Division, Office of Policy Economics and Innovation, US EPA ([benson.robert@epa.gov](mailto:benson.robert@epa.gov))

[Carolyn Covey Morris](#), Vice President, Public and Government Affairs, Synthetic Organic Chemicals Manufacturers Association ([carolyn.coveymorris@socma.com](mailto:carolyn.coveymorris@socma.com))

[Rudy Cartier, Jr., PE](#), Small Business Ombudsman, New Hampshire Department of Environmental Services ([rcartier@des.state.nh.us](mailto:rcartier@des.state.nh.us))

[Catherine Fox](#), Environmental Scientist, Georgia Tech Research Institute ([www.gtri.gatech.edu](http://www.gtri.gatech.edu))

[Walt Derieux \(Session Coordinator\)](#), Leader, Sector Analysis Team, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA ([derieux.walter@epa.gov](mailto:derieux.walter@epa.gov))

[Kathleen Bailey \(Session Coordinator\)](#), Senior Analyst, Office of Policy, Economics and Innovation, US EPA ([bailey.kathleen@epa.gov](mailto:bailey.kathleen@epa.gov))

**Location:** Regatta Ballroom B & C

### Session III:

### Identify Compliance Assistance Needs to Address EPA and State Solid and Hazardous Waste Priorities

#### Description:

EPA and state panelists will discuss with session participants the compliance priorities and compliance assistance activities in **solid and hazardous waste programs** and the current and future compliance assistance needs to address those priorities. The session will encourage all participants to share success stories and lessons learned in developing and applying specific compliance assistance activities to address problem areas.

#### Goals/Outcome:

Participants will gain knowledge of EPA and state compliance assistance priorities and activities planned and have the opportunity for suggesting additional compliance assistance needs. In turn, EPA and states will gain valuable information from the other providers on compliance assistance needs and opportunities for collaboration. Information exchanged will be used to shape EPA and State Fiscal year 2002 compliance assistance planning efforts.

#### Key Questions:

- ☐ What are the compliance plans and needs of the state and local government and private compliance assistance providers?
- ☐ Are planned projects and tools meeting the compliance assistance needs of the regulated community?
- ☐ Are there other problems not identified as priorities that need compliance assistance tools?
- ☐ What are the opportunities for collaboration on compliance assistance activities, technical assistance and other outreach activities?

#### Presenters:

[Cheryl Coleman](#), *State of South Carolina, Chair, Association of State and Territorial Solid Waste Management Officials, Hazardous Waste Task Force*

[Desi Crouther](#), *Associate Director, RCRA Enforcement Division, Office of Regulatory Enforcement*  
(crouther.desi@epa.gov)

[Carl Daly](#), *RCRA Regional Coordinator, US EPA Region 8* (daly.carl@epa.gov)

[Judi Kane](#), *Senior Environmental Protection Specialist, Communications, Information and Resources, Management Division, Office of Solid Waste* (kane.judi@epa.gov)

[Gregory Fried \(Session Coordinator\)](#), *Environmental Protection Specialist, Compliance Assessment and Media Programs Division, Office of Compliance, US EPA* (fried.gregory@epa.gov)

#### Audience Resources:

[John Austin](#), *Hazardous Waste Minimization and Management Division, Office of Solid Waste US EPA*  
(austin.john@epa.gov)

[Jim Michael](#), *Hazardous Waste Identification Division, Office of Solid Waste US EPA* (michael.james@epa.gov)

[Hope Pillsbury](#), *Municipal and Industrial Solid Waste Division, Office of Solid Waste US EPA*  
(pillsbury.hope@epa.gov)

[Sara Rasmussen](#), *Permits and State Programs Division, Office of Solid Waste US EPA*

**Location:** Regatta A

**Session IV:****Mini-Sessions****3:15 – 4:00      Identify Compliance Assistance Needs to Address EPA and State Air Priorities**

This session is an abbreviated version of Session I in the previous series of sessions scheduled from 1:15 – 3:00. The presentations will be the same; however, there will be little time for participant discussions.

**4:15 – 5:00      Identify Compliance Assistance Needs to Address EPA and State Water Priorities**

This session is an abbreviated version of Session II in the previous series of sessions scheduled from 1:15 – 3:00. The presentations will be the same; however, there will be little time for participant discussions.

**Location:**      Windjammer

## March 8, 2001

### Plenary Sessions – Regatta Ballroom

#### 8:30 – 8:50      Networking Through the National Compliance Assistance Clearinghouse – A Resource for Compliance Assistance Providers

[Bruce Weddle](#), *Deputy Director, Office of Compliance, US EPA* ([weddle.bruce@epa.gov](mailto:weddle.bruce@epa.gov))

[Pam Christenson](#), *Director, Wisconsin Small Business Assistance Program and Compliance Assistance Advisory Committee Member* ([pchristenson@commerce.state.wi.us](mailto:pchristenson@commerce.state.wi.us))

- ☐ Demonstrate the new Clearinghouse and describe innovative features

#### 8:50 – 9:00      Introduction to Morning Sessions

[Rich Sustich](#), *Assistant Director, Research and Development, Metropolitan Water Reclamation District of Greater Chicago and Co-chair, Compliance Assistance Advisory Committee* ([richard.sustich@mwrldgc.dst.il.us](mailto:richard.sustich@mwrldgc.dst.il.us))

**March 8, 2001**  
**Concurrent Sessions 9:00 – 10:45**  
**Tools and Approaches for Delivering Compliance Assistance**

**Session I: Integrating Compliance Assistance with Enforcement, Monitoring and Other Approaches**

**Description:**

During this session, participants will discuss principles and approaches to integrating compliance assistance into a broader strategy for assuring compliance with environmental requirements and improving environmental performance.

**Goals/Outcome:**

Develop possible criteria that could be used in determining the appropriate mix of strategies (compliance assistance, incentives, monitoring, enforcement, innovative strategies) to address an environmental or noncompliance problem.

**Key Questions:**

- ☐ What factors or criteria should be considered in determining the mix of compliance strategies (compliance assistance, incentives, monitoring, enforcement, innovative strategies) appropriate to address an environmental or noncompliance problem?
- ☐ What models of integrated strategies are currently being used by EPA, state, local and tribal governments? What factors or criteria are used in those models?
- ☐ What are some examples of where integrated strategies have been used and what are the lessons learned from these examples?

**Presenters:**

[Rich Sustich](#), *Assistant Director, Research and Development, Metropolitan Water Reclamation District of Greater Chicago and Co-chair, Compliance Assistance Advisory Committee* ([richard.sustich@mwrldgc.dst.il.us](mailto:richard.sustich@mwrldgc.dst.il.us))

[Desi Crouther](#), *Associate Director, RCRA Enforcement Division, Office of Regulatory Enforcement, US EPA* ([crouther.desi@epa.gov](mailto:crouther.desi@epa.gov))

[Greg Roscoe](#), *Co-Manager, Assistance and Pollution Prevention Office, US EPA New England Region* ([roscoe.gregory@epa.gov](mailto:roscoe.gregory@epa.gov))

[Mary Werner](#), *Director, Pollution Prevention Unit, New York State Department of Environmental Conservation* ([mhwerner@gw.dec.state.ny.us](mailto:mhwerner@gw.dec.state.ny.us))

[Becky Barclay](#) ([Session Coordinator](#)), *Program Analyst, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA* ([barclay.rebecca@epa.gov](mailto:barclay.rebecca@epa.gov))

**Audience Resource:**

[Myron O. Knudson, P.E.](#), *Director, Superfund Division, US EPA Region 6* ([knudson.myron@epa.gov](mailto:knudson.myron@epa.gov))

**Location:** Regatta Ballroom B & C

**Description:**

This session will focus on efforts to develop strategies that will help providers in a given situation to:

1) identify the end-users of compliance assistance tools; 2) identify appropriate compliance assistance tools for those end-users; and 3) to design effective delivery systems for getting compliance assistance tools to the end-user. The choice of different types of tools for particular sectors will be discussed; for example, compliance-focused pollution prevention. The session will also address how to ensure the quality and usefulness of compliance assistance tools.

**Goals/Outcome:**

Receive input from compliance assistance providers on how to better design and deliver compliance assistance tools. Identify what strategies have worked in the past and how to match the “right” tool with a particular end user.

**Key Questions:**

- ☐ How do we best identify the compliance assistance needs of end-users?
- ☐ How should we prioritize compliance assistance needs?
- ☐ How do we decide what are the appropriate compliance assistance tools (e.g., pollution prevention, environmental management systems, etc.)?
- ☐ How do we best deploy those compliance assistance tools to the end user?
- ☐ How do we ensure the quality and usefulness of compliance assistance tools?

**Presenters:**

[Marc Kinter](#), Vice President, Government Affairs, Screen Graphics and Imaging Association ([marcik@sgia.org](mailto:marcik@sgia.org))

[Sharon Johnson](#), Section Chief, Division of Pollution Prevention, State of North Carolina ([sharonmjohnson@ncmail.net](mailto:sharonmjohnson@ncmail.net))

[Blair Henry](#), Executive Director, Pacific Northwest Pollution Prevention Resource Center and Compliance Assistance Advisory Committee Member ([bhenry@pprc.org](mailto:bhenry@pprc.org))

[Lee Fiske](#) (Session Coordinator), Leader, New England Environmental Assessment Team, Assistance and Pollution Prevention Office, Office of Environmental Stewardship, US EPA Region 1 ([fiske.lee@epa.gov](mailto:fiske.lee@epa.gov))

[Richard Satterfield](#) (Session Coordinator), Engineer, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA ([satterfield.richard@epa.gov](mailto:satterfield.richard@epa.gov))

**Location:** Thomas Point

### Session III:

### Measuring the Results of Compliance Assistance Activities

#### Description:

This session will include an overview of EPA's "Guide for Measuring Compliance Assistance Outcomes" (March 1999, EPA300-B-99-002) and solicit ideas from session participants on how the Guide can be improved/augmented. There will be a brief overview by three panel experts on their organization's measurement programs/activities and their perspectives on what EPA's role in compliance assistance measurement should be. There will be an opportunity for the audience to provide feedback on proposed recommendations for improving measurement efforts.

#### Goals/Outcome:

To identify model programs or measures metrics that should be more closely examined. To receive input on EPA's role in compliance assistance measurement activities. To engage participants in discussion on how providers can better network and share compliance assistance measures methodologies and results.

#### Key Questions:

- ☐ How can EPA facilitate the aggregation, analyses, and communication of compliance assistance measurement information?
- ☐ What are the barriers to collecting and measuring compliance assistance effectiveness - outcomes?
- ☐ How can community groups be used to support compliance assistance measures activities? Is anyone aware of the successful use of community groups to support compliance assistance measurement?
- ☐ How should EPA's "Guide for Measuring CA Outcomes" be augmented to better support compliance assistance measurement activities?
- ☐ What can be learned from what states and other providers have already done in compliance assistance measurement and other related measurement areas (e.g. pollution prevention, environmental management systems)?

#### Presenters:

**John Gorman**, Compliance Assistance Section Chief, US EPA Region 2 ([gorman.john@epa.gov](mailto:gorman.john@epa.gov))

**Terri Goldberg**, Deputy Director, Northeast Waste Management Officials Association and Compliance Assistance Advisory Committee Member ([tgoldberg@newmoa.org](mailto:tgoldberg@newmoa.org))

**Rudy Cartier, Jr., P.E.**, Small Business Ombudsman, New Hampshire Department of Environmental Services ([rcartier@des.state.nh.us](mailto:rcartier@des.state.nh.us))

**Donna Inman**, Information Management Specialist Enforcement, Planning, Targeting and Data Division, Office of Compliance, US EPA ([inman.donna@epa.gov](mailto:inman.donna@epa.gov))

**Tracy Back (Session Coordinator)**, Leader, Compliance Assistance Centers Team, Office of Compliance, US EPA ([back.tracy@epa.gov](mailto:back.tracy@epa.gov))

**Location:** Regatta Ballroom A

## Session IV:

## Challenges of Delivering On-Site Compliance Assistance

### Description:

Panelists will discuss different approaches to providing on-site assistance including the type of assistance provided; qualifications/training of providers; the policy and implementation of issues involved; and the successes of various approaches.

### Goals/Outcome:

The goal is to share information on effective models for on-site compliance assistance; discuss implementation issues, such as policies needed and qualifications/training of providers; identify tools that work best; and provide information on the successes of the models discussed. A substantial part of the session will be open discussion to address questions, additional issues or recommendations of how to improve or expand on-site compliance assistance.

### Key Questions:

- ☐ What are the types of on-site compliance assistance programs actually in operation?
- ☐ What has to be considered before setting up on-site assistance programs (e.g. who provides the assistance and to whom and how are the providers trained)? What assistance is being provided and how? What are the pitfalls to avoid?
- ☐ What issues arise during implementation and how do ongoing programs handle them?
- ☐ How do these on-site compliance assistance programs relate to the compliance monitoring/enforcement programs?
- ☐ How successful are these programs and how is success being measured?

### Presenters:

[Samantha Fairchild](#), *Director, Office of Enforcement, Compliance and Environmental Justice, US EPA Region 3* (fairchild.samantha@epa.gov)

[Bernard Penner](#), *Enforcement Coordinator, Maryland Department of the Environment*

[Brett Cameron](#), *Assistant Director, Agricultural Consultation and Training, Arizona Department of Agriculture*

[Dana Stuller](#), *Senior Technical Specialist, Pennsylvania Technical Assistance Program*

[Ken Gigliello \(Session Coordinator\)](#), *Associate Director, Office of Compliance Assessment and Media Programs Division, US EPA* (gigliello.kenneth@epa.gov)

**Location:** Windjammer



## **March 8, 2001**

### **Regional Roundtables 11:00 – 12:15**

#### **Description:**

Representatives from EPA regional offices will be available for an informal discussion to receive suggestions and ideas for consideration in planning for compliance assistance. Feedback from this session will be used by EPA Regions in planning for Fiscal Year 2002 and beyond. Feedback also will be used to assist EPA in identifying partnerships.

#### **Goal/Outcome:**

The information received during this session will be considered as EPA plans for its compliance assistance activities. This session also will help in using resources more efficiently by identifying opportunities to partner on projects and by sharing information on existing projects that could address new problems.

#### **Key Questions:**

- ☐ What are the most important environmental, regulatory or sector-based problems where compliance assistance needs to be focused?
- ☐ What type of compliance assistance would be most useful and effective at addressing the problems identified? To whom should the compliance assistance be focused?
- ☐ For the of compliance assistance identified, are there opportunities for collaboration or partnerships between EPA, other compliance assistance providers and/or industry?
- ☐ To avoid duplication, how can we identify similar completed projects?
- ☐ In addition to the areas EPA is planning on focusing its resources for the upcoming year, are there other areas that EPA could consider focusing its compliance assistance resources?

#### **Locations:**

Regions 1, 2, and 4	Regatta Ballroom A
Region 3	Regatta Ballroom B & C
Regions 5, 7 and 9	Thomas Point
Regions 6, 8, and 10	Windmill Point

**March 8, 2001**  
**Concurrent Sessions 1:30 – 3:15**  
**Focusing Compliance Assistance Resources to Address Industry Needs**

**Session I: Strategies for Meeting Compliance Assistance Needs of Small Businesses and Small Communities**

**Description:**

This session is designed to focus on the specific compliance needs of small businesses and very small communities: the types of tools that are most effective; the delivery mechanisms that work best for smaller entities; and what role efforts like pollution prevention, environmental management systems, audits, and mentoring can play in serving the needs of smaller entities. The session will encourage the sharing of success stories and lessons learned to help define what makes a compliance assistance strategy work for a small business or small community.

**Goals/Outcome:**

Identify successful compliance assistance strategies for small businesses and small communities and the tools needed to improve current approaches and policies.

**Key Questions:**

- ☐ What kind of tools work best for assisting small businesses/small communities in meeting their compliance goals?
- ☐ What type of delivery mechanisms work best for getting compliance assistance tools to small businesses/small communities?
- ☐ What role can efforts like pollution prevention, audits, environmental management systems, and mentoring play in a compliance assistance strategy for small businesses/small communities?

**Presenters:**

[Carl Komassa](#), *Quality Systems Manager, Beck Carton Corporation* ([carl@beckcarton.com](mailto:carl@beckcarton.com))

[Edward Stern](#), *Facilitator for Expert Advisors, Occupational Safety and Health Administration* ([edward.stern@osha-no.osha.gov](mailto:edward.stern@osha-no.osha.gov))

[Judy Duncan](#), *Director, Customer Services Division, Oklahoma Department of Environmental Quality* ([judy.duncan@deqmail.state.ok.us](mailto:judy.duncan@deqmail.state.ok.us))

[Walt Tunnessen](#), *Senior Director, Business & Environment Programs, National Environmental Education and Training Foundation* ([tunnessen@neetf.org](mailto:tunnessen@neetf.org))

[Andy Teplitzky](#) ([Session Coordinator](#)), *Environmental Scientist, Office of Policy, Economics and Innovation* ([teplitzky.andy@epa.gov](mailto:teplitzky.andy@epa.gov))

[David Byro](#) ([Session Coordinator](#)), *Business Assistance Center, US EPA Region 3* ([byro.david@epa.gov](mailto:byro.david@epa.gov))

**Audience Resources:**

[Andrew Jacobs](#), *President, Ideal Jacobs Corporation* ([aj@idealjacobsCorp.com](mailto:aj@idealjacobsCorp.com))

**Location:** Regatta Ballroom B & C

## Session II:

## Strategies for Meeting Compliance Assistance Needs of Large Industrial Facilities

### Description:

This session is designed to focus on the specific compliance needs of moderate to large size facilities that are designed for manufacturing or other industrial purposes. This session will focus primarily on how compliance assistance fits into an overall strategy for improving compliance and achieving superior environmental performance. The session will encourage the sharing of success stories, and where efforts have failed, to help define effective environmental performance strategies for larger industrial facilities.

### Goals/Outcome:

To identify issues/opportunities and/or provide suggestions on how to use compliance assistance to improve compliance and achieve superior environmental performance at larger industrial facilities.

### Key Questions:

- ☐ Where does compliance assistance fit in the environmental strategies of larger industrial facilities?
- ☐ What role can EPA play in encouraging maximum environmental performance at larger industrial facilities?
- ☐ What are examples of successful environmental performance strategies at larger industrial facilities?
- ☐ What role have environmental management systems played in successfully achieving compliance and superior performance?

### Presenters:

[Barry Feldman](#), *Environmental Engineer, Air Toxics, US EPA Region 6* (feldman.barry@epa.gov)

[Randy Armstrong](#), *Environmental & Safety Manager, Shell Chemical* (jrmstrong@shellus.com)

[Sharon Baxter](#), *Director, Office of Pollution Prevention and Compliance Assistance, Virginia Department of Environmental Quality* (skbaxter@deq.state.va.us)

[Wilma Subra](#), *Technical Advisor to Louisiana Environmental Action Network, and Member, National Advisory Council on Environmental Policy & Technology* (Subracom@aol.com)

[Seth Heminway](#) ([Session Coordinator](#)), *Environmental Protection Specialist, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA* (heminway.seth@epa.gov)

**Location:** Thomas Point

### Session III:

### Strategies for Meeting Compliance Assistance Needs of Complex Public and Private Institutions

#### Description:

This session is designed to address the compliance assistance of facilities that face complex environmental compliance situations within an institutional or bureaucratic system, such as hospitals, municipalities, prisons, and federal facilities. The session will focus on the types of tools that work best within this type of regulated community, how best to deliver compliance assistance tools to these institutions, and what role efforts like pollution prevention and environmental management systems can play to assist compliance in these institutional settings.

#### Goals/Outcome:

To identify issues/opportunities and/or provide suggestions to EPA on how to improve the delivery of compliance assistance to complex institutional entities.

#### Key Questions:

- ☐ How do the compliance assistance needs of institutional entities differ from other types of regulated entities?
- ☐ What tools work best for public/private institutions?
- ☐ What is the most effective way to deliver compliance assistance to institutions?
- ☐ What are some success stories for providing compliance assistance to institutions?
- ☐ What role can pollution prevention and environmental management systems play in the compliance assistance strategies of institutions?

#### Presenters:

[Harry Gregori, Jr.](#), *Director, Division of Pollution Prevention and Compliance Assistance, Virginia Department of Environmental Quality* ([hegregori@deq.state.va.us](mailto:hegregori@deq.state.va.us))

[Kimberly Dalton-Ferris](#), *Director, Environmental Health and Safety, State University of New York* ([dalton@geneseo.edu](mailto:dalton@geneseo.edu))

[Marie Muller](#), *Attorney, Federal Facilities Enforcement Office, US EPA* ([muller.marie@epa.gov](mailto:muller.marie@epa.gov))

[Kathleen Malone](#), *Federal Facility Coordinator, US EPA Region 2* ([malone.kathleen@epa.gov](mailto:malone.kathleen@epa.gov))

[Richard Satterfield \(Session Coordinator\)](#), *Environmental Engineer, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA* ([satterfield.richard@epa.gov](mailto:satterfield.richard@epa.gov))

**Location:** Regatta Ballroom A

**Description:**

This session will focus on how compliance assistance providers can better collaborate and partner in the development and delivery of compliance assistance over the Internet. A short panel presentation will cover topics that may include: content sharing made easy; center platform tools – meeting providers needs; and, use of expert systems – success story. In addition to the panel presentation, you will have the opportunity to test several computer-based compliance assistance resources. Among those resources that will be available are:

- ☐ Toxics Release Inventory – Made Easy (TRI-ME), Office of Environmental Information, US EPA
- ☐ Compliance Assistance Centers – Office of Environmental Information, US EPA
- ☐ Pollution Prevention Resource Exchange
- ☐ Sector Platform – Office of Policy, Economics and Innovation, US EPA
- ☐ EnvioClean for Dry Cleaners – 3G Software
- ☐ Regional Compliance Assistance Tracking System – Office of Compliance, US EPA
- ☐ Federal Advisory – Office of Pollution Prevention and Toxics, US EPA
- ☐ Compliance Assistance Clearinghouse – Office of Compliance, US EPA
- ☐ Dakota Auditor and Dakota Tracer – Dakota Software

**Goals/Outcome:**

To demonstrate computer-based tools to support the regulated community. To engage participants on how they can share and import compliance assistance Internet content to extend their “reach”. Demonstrate center-funded content sharing tools. To announce the development of the Center Platform, a method to receive feedback on the types of tools that participants would find valuable.

**Key Questions:**

- ☐ How can providers better collaborate on the development and distribution of computer-based tools to reduce duplicative efforts/cost and improve “reach”?
- ☐ How can providers make use of content sharing technologies?
- ☐ Are there other types of software or other computer-based tools needed to support the regulated community (CD ROMs, expert systems, etc.)?
- ☐ In what situations should the Internet be used to provide/deliver compliance assistance?

**Presenters:**

[Paul D. Chalmer](#), Area Business Manager, National Center for Manufacturing Sciences ([paulc@ncms.org](mailto:paulc@ncms.org))

[Greg Geyer](#), Principal, EITEC

[Tracy Back \(Session Coordinator\)](#), Leader, Compliance Assistance Centers Team, Office of Compliance, US EPA ([back.tracy@epa.gov](mailto:back.tracy@epa.gov))

**Location:** Windjammer

**March 8, 2001**  
**Concurrent Sessions 3:30 – 5:15**  
**Focusing Compliance Assistance Resources to Address Industry Needs**

**Session I: Identifying and Targeting Emerging Sectors for Compliance Assistance**

**Description:**

This session will focus on techniques and methodologies for identifying sectors that may be considered emerging. The panel discussions will review traditional and non-traditional methods to determine whether a specific sector should be considered for compliance assistance before the sector's environmental issues surface as a concern. The session will encourage ideas on how to select emerging sectors and how to select the most effective approaches for addressing the facilities compliance assistance needs.

**Goals/Outcome:**

Identify issues/opportunities and/or provide suggestions to EPA on methods to identify emerging environmental issues or sectors and the associated compliance assistance delivery systems to cope with the issues.

**Key Questions:**

- ☐ What are the most effective techniques and methodologies of using traditional and non-traditional information sources to identify emerging sectors?
- ☐ What are the most effective methods for selecting and delivering compliance assistance to emerging sectors?
- ☐ What are the impediments to effectively identify appropriate and effective compliance assistance for emerging sectors?

**Presenters:**

**Michael E. Wilson**, *Manager, Governmental and Industry Relations, Automotive Recyclers Association*

**Sam Coleman**, *Director, Compliance Assurance and Enforcement Division, US EPA Region 6*  
(coleman.samuel@epa.gov)

**Mike Barrette**, *Leader, Enforcement Targeting and Public Access Team, Office of Compliance, US EPA*  
(barrette.michael@epa.gov)

**David Scott Smith**, *Executive Director, Environmental Industry Sector Strategies*

**Sonia Altieri**, *Office of Cooperative Environmental Management, Office of the Administrator, US EPA*  
(altieri.sonia@epa.gov)

**Richard Sustich**, *Assistant Director, Research and Development, Metropolitan Water Reclamation District of Greater Chicago and Co-chair, Compliance Assistance Advisory Committee* (richard.sustich@mwrddgc.dst.il.us)

**Walter Derieux (Session Coordinator)**, *Leader, Sector Analysis Team, Compliance Assistance and Sector Programs Division, Office of Compliance, US EPA* (derieux.walter@epa.gov)

**Location:** Regatta Ballroom B & C

## Session II:

## Creatively Leveraging of Resources for Compliance Assistance

### Description:

The session will start with brief presentations on identifying resources and funding sources for providing assistance to the regulated community such as government, foundations, and fees. Next, the audience will break into discussion groups to brainstorm on finding sources of funding, removing obstacles to obtaining resources and suggestions for EPA on disseminating information on funding. Someone from each group will report on responses to key questions.

### Goals/Outcome:

Participants will learn about possible sources of funding for compliance assistance and develop new contacts for partnering to leverage resources. EPA will obtain suggestions for helping to disseminate information on funding for compliance assistance and to address some of the obstacles.

### Key Questions:

- ☐ How do organizations fund compliance/technical assistance?
- ☐ What are some of the obstacles to obtaining funds?
- ☐ How do you remove those obstacles?
- ☐ How can incorporating measurable results in a project increase chances of funding?
- ☐ What are some suggestions for EPA on addressing these issues?

### Presenters:

[Robert Barkanic](#), *Deputy Secretary for Compliance Assistance and Pollution Prevention, Pennsylvania Department of Environmental Protection and Compliance Assistance Advisory Committee Member* ([barkanic.robert@dep.state.pa.us](mailto:barkanic.robert@dep.state.pa.us))

[Karen Brandt](#), *Deputy Director, Maryland Center for Environmental Training at the College of Southern Maryland* ([kbrandt@mcet.org](mailto:kbrandt@mcet.org))

[James W. Conrad](#), *Counsel, American Chemistry Council* ([james\\_conrad@americanchemistry.com](mailto:james_conrad@americanchemistry.com))

[Janet Viniski](#) ([Session Coordinator](#)), *Compliance Assistance and Audit Policy Coordinator, US EPA Region 3* ([viniski.janet@epa.gov](mailto:viniski.janet@epa.gov))

**Location:** Regatta Ballroom A

**Description:**

Explore programs or projects where community groups (e.g. grass roots, environmental justice and other community groups) have participated and helped improve environmental compliance and performance by industry and government.

**Goal/Outcome:**

Increase compliance assistance providers' awareness of the needs of community groups for education and information to enable such groups to participate in developing and evaluating the effectiveness of environmental compliance assistance programs.

**Key Questions:**

- ☐ What is or should be the role(s) of communities groups in the development and evaluation of compliance assistance programs?
- ☐ What are community groups' needs for training and information to enable them to participate effectively? How can Compliance assistance providers meet these needs? What funds/resources are available for this?
- ☐ Under what circumstances do community groups accept compliance assistance rather than enforcement as a means of achieving compliance or improved environmental performance by industry and government?

**Presenters:**

[Brian Livingston](#), *Print Step Coordinator, Minnesota Pollution Control Agency*  
([brian.livingston@pca.state.mn.us](mailto:brian.livingston@pca.state.mn.us))

[George Chmael](#), *Staff Attorney, Maryland and Chesapeake Bay Foundation, Annapolis, Maryland*  
([gchmael@cbf.org](mailto:gchmael@cbf.org))

[Lenny Siegel](#), *Executive Director, Center for Public Environmental Oversight and Member, Compliance Assistance Advisory Committee* ([lsiegel@cepc.org](mailto:lsiegel@cepc.org))

[Wilma Subra](#), *Technical Advisor to Louisiana Environmental Action Network, and Member, National Advisory Council on Environmental Policy & Technology* ([Subracom@aol.com](mailto:Subracom@aol.com))

**Location:** Thomas Point



**Session IV:****Technology Fair****Description:**

This session will continue the Technology Fair that began in the previous session (Computer-Based Compliance Assistance Demonstrations and Technology Fair). Innovative compliance assistance software and Internet-based tools will be available for participants to try. Among those resources that will be available are:

- ☐ Toxics Release Inventory – Made Easy (TRI-ME), Office of Environmental Information, US EPA
- ☐ Compliance Assistance Centers – Office of Environmental Information, US EPA
- ☐ Pollution Prevention Resource Exchange
- ☐ Sector Platform – Office of Policy, Economics and Innovation, US EPA
- ☐ EnvioClean for Dry Cleaners – 3G Software
- ☐ Regional Compliance Assistance Tracking System – Office of Compliance, US EPA
- ☐ Federal Advisory – Office of Pollution Prevention and Toxics, US EPA
- ☐ Compliance Assistance Clearinghouse – Office of Compliance, US EPA
- ☐ Dakota Auditor and Dakota Tracer – Dakota Software

**Location:** Windjammer

## March 9, 2001

### Plenary Sessions – Regatta Ballroom

#### 8:30 – 9:30 Industry Innovations in Compliance Assistance and Environmental Performance

**Description:**

An industry representative will share examples of innovative approaches to compliance assistance that are promoting improved compliance and environmental stewardship in the regulated community. Examples will include industry and regulatory agency partnerships, environmental management systems, and mentoring.

**Goals/Outcome:**

An understanding of innovative tools that industry is using to enhance environmental performance.

**Key Questions:**

- ☐ What is the value of partnerships between federal and non-federal entities?
- ☐ What are the benefits associated with using environmental management systems to achieve compliance and improve environmental performance?

**Presenter:**

F. Henry Habicht, II, *Chief Executive Officer, Global Environment & Technology Foundation*

#### 9:30 – 10:15 Making Compliance Assistance Work: A Partnership Success Story

**Description:**

The session will present information on a unique partnership approach that uses the Internet to provide direct, targeted compliance assistance information.

**Goals/Outcome:**

Participants will gain an understanding of how partnerships enhance the adoption and adaptation of Internet-based compliance assistance tools to advance the wholesale distribution of compliance assistance information.

**Key Questions:**

- ☐ How can compliance assistance providers identify opportunities for partnering with EPA to use the Internet to facilitate the wholesale distribution of compliance assistance information? What are the opportunities for partnering to facilitate the retail distribution of compliance assistance information?
- ☐ What are the benefits and limitations of using the Internet to distribute compliance assistance information?
- ☐ How have the Compliance Assistance Centers evolved and how will new sector-specific or topical centers be created?

**Chair:** Michael Stahl, *Director, Office of Compliance, US EPA*

**Panelists:**

Lirel Holt, *Chairman, Coordinating Committee for Automotive Repair-Greenlink*

Mark Saxonberg, *Service Technology Manager, Toyota Motor Sales USA, Inc.*

## 10:30 – 11:45 Practitioners Perspectives: The Next Generation of Compliance Assistance

### **Description:**

Compliance assistance providers offer their insights as to what is needed to advance the practice of compliance assistance in Fiscal Year 2001 and beyond.

### **Goals/Outcome:**

Identify issues/opportunities and/or provide suggestions to compliance assistance providers to expand their reach and the quality of their assistance.

### **Key Questions:**

- ☐ What are the biggest challenges facing compliance assistance providers in the next 5 years?
- ☐ What opportunities exist for compliance assistance providers to maximize their effectiveness?
- ☐ What makes a compliance assistance program/provider successful?

### **Presenters:**

[Rudy Cartier, Jr., P.E.](#), *Small Business Ombudsman, New Hampshire Department of Environmental Services*

[Walt Tunnessen](#), *Senior Director, Business & Environment Programs, National Environmental Education and Training Foundation*

[Susan Gilbert-Miller](#), *Director of Environmental Services, Chicago Manufacturing Center*

## 11:45 – 12:00 Wrap-Up

[Michael Stahl](#), *Director, Office of Compliance, US EPA*